DOCUMENT CONTROL PROGRAM PLAN

This plan directs the preparation, review, approval, issuance, availability, and revision of documents having Laboratory-wide impact.

1.0 APPROVAL RECORD

- Reviewed by: Document Control Coordinator (Amy Tehan)
- Approved by: Human Resources Manager (Diane Muncrief)
- Approved by: Quality Assurance Program Manager (Tom Wessels)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Associate Laboratory Director for Sponsored Research (Deb Covey)
- Approved by: Assistant Director for Scientific Planning (Cynthia Jenks)
- Approved by: Chief Research Officer (Duane Johnson)
- Approved by: Interim Deputy Director (David Baldwin)
- Approved by: Interim Director (Tom Lograsso)

The official approval record for this document is maintained in the Training, Documents & Records Office.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

The Ames Laboratory recognizes the importance of documents that prescribe processes, specify requirements, or establish design. The Document Control (DC) Plan ensures that only approved, current versions of such documents are used in the workplace or transmitted to outside entities. This plan directs the preparation, review, approval, issuance, availability, and revision of documents having Laboratory-wide impact. The level of control for each document is established according to the complexity and hazards associated with the activities represented by each document. Documents having Laboratory-wide impact, regardless of origin, shall be registered and tracked through Document Control as part of the Laboratory's Quality Assurance Program.

3.1. Definitions

3.1.1. Lab-wide Documents: Lab-wide documents are those having impact or being used by the majority of the Ames Laboratory staff population.

3.1.2. Bar code: A unique document identifier generated by records management staff that is added to the bottom of the first page of some forms and documents that are considered to be vital records. Bar codes are assigned to documents based on conversations between records management staff and staff from the document's office of origin.

3.1.3. Vital Records: Records required to meet operational responsibilities or to protect the legal and financial rights of the Ames Laboratory and its employees during and/or after an emergency event. The Ames Laboratory maintains four major types of vital records:

- Official Personnel Files are those records associated with an individual's employment at the Ames Laboratory. These records are created in the Human Resources Office.
- Employee Medical Records are those records associated with an individual's medical surveillance at the Ames Laboratory. These records are created in the Occupational Medicine Office.
- Laboratory research notebooks are any form of documentation of research results funded under the Laboratory's contract with the Department of Energy.
- Emergency records are those records essential to continuity of operations and/or reconstitution of the Ames Laboratory during or after an emergency.

3.1.4. Document Types:

- *Charter:* A document that defines the formal organization of a specialized group at the Ames Laboratory, and outlines its mission, responsibilities, and goals. These documents are to have a maximum 5-year revision cycle, and must be approved by the program director/department manager and all of Executive Council.
- *Form:* A formatted document containing blank fields (spaces) that allow the user to enter information (text fields, text area fields, drop-down menus, check-boxes, etc.). These documents are to have a maximum 5-year revision cycle, and must be reviewed by the program director/department manager.
- *Guide:* A recommended practice that allows some discretion or leeway in its interpretation, implementation or use. Guidance statements may be included within other prescriptive documents, but must be noted as such. These documents are to have a maximum 5-year revision cycle, and must be reviewed by the program director/department manager.
- *Handbook:* Small scale version of a manual, perhaps focusing on fewer tasks. These documents are to have a maximum 5-year revision cycle, and must be reviewed by the program director/department manager.
- *Handout:* A short guidance document providing highlights of a specific plan or procedure to be used as a quick reference. These documents are to have a maximum 5-year revision cycle, and must be reviewed by the program director/department manager.
- *Manual:* Comprehensive, step-by-step directions for a particular task or set of tasks that serves as a reference book. A manual details what is required, explains how to put the presented information into practice, and instructs how to solve problems as they occur. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and the member of Executive Council having oversight of the originating program area.
- *Plan:* A statement of purpose for future action designed to achieve specific goal(s) within a specific time frame or in case of an event. A plan explains what needs to be done, when, how, and by whom. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and all of Executive Council.

- *Policy:* A high level description of required controls for regulating processes. A policy is a set of declared principles used to direct actions in pursuit of goals and in preservation of the Lab as an organization. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and all of Executive Council.
- *Procedure:* Specific actions used to carry out policies and/or plans in the day-to-day operations of the Laboratory. Procedures may be added to policies or plans as attachments. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and the member of Executive Council having oversight of the originating program.

In some instances, it may be difficult or impractical for a document to adhere to only one document type. There may be plans, policies or manuals that contain procedures or guidelines. In these cases, the document type should be determined by the author and Document Control staff.

4.0 ROLES AND RESPONSIBILITIES

4.1. Document Control Staff

Document Control staff are responsible for:

- Maintaining a database to track documents having Laboratory-wide impact (DC staff will also track the internal documents of Laboratory offices or groups upon request). The database will contain information for each document, including document type, name and number, author and originating office, effective date, review date, revision number, and status.
- Generating new document numbers upon request, and reminding document authors of upcoming review dates.
- Generating bar codes to be included on vital records.
- Overseeing the review, routing and approval of documents. The DC staff work with document authors, ensuring proper formatting and consistency before requesting approval.
- Providing document development assistance, including creating bookmarked or fill-able PDFs.
- Coordinating any changes requested by approvers and tracking approval progress.
- Maintaining records of document approval, notifying document authors when the approval process is complete, and requesting that approved documents be posted online as specified by document authors.

4.2. Document Authors

Document authors are responsible for:

- Requesting document numbers from Document Control staff and for submitting documents for approval. *Authors are responsible for the content of documents in accordance with their line management.*
- Consulting DC staff with any questions regarding document preparation.

- Providing a Document Submission Form (Form 48202.002) with each new or revised document.
- Adhering to, as much as is practical, the document templates available on the Ames Lab website when developing or revising documents:
    - Ames Laboratory Forms and Handouts Template (Form 48202.003)
    - Ames Laboratory Document Template (Form 48202.004)
    - Ames Laboratory Document Chapter or Section Template (Form 48202.005)
- Maintaining a detailed revision description for all documents with the exception of forms and handouts. This revision description can be formatted in any way the author chooses, but changes made in the current revision should be copied and pasted into the Document Submission Form.
- Performing revisions as scheduled or as necessary based on policy or procedure changes, or regulatory changes.
- Notifying affected users when there is a new or revised version of a document.

4.3. Document Approvers

Approvers are responsible for reviewing, commenting on, and approving documents that they are requested to approve in a timely manner.

4.4. Document Users

Document users should be diligent in using the most recent versions of all documents (do not save local copies of documents). Current versions of frequently used documents will be available online, and users should refer to these at all times.

5.0 PREREQUISITE ACTIONS AND REQUIREMENTS

5.1. Document Planning

Authors shall assess whether new documents will have Laboratory-wide impact. Document Control staff can assist with this assessment when requested. Documents having Lab-wide impact must be tracked through the Document Control Program. Authors of documents *not having* Lab-wide impact may decide whether they want those documents tracked through the Document Control Program.

6.0 PROGRAM PLAN

The core activities of the Document Control Program are document development, review and revision, document approval, and document availability and use. A quick reference handout is available for authors from the Ames Laboratory website.

6.1. Document Development, Review, Revision, Approval, and Availability

6.1.1. Document Development

Laboratory-wide documents will be developed according to the policies, procedures and guidelines set forth in this plan. Each document will be assigned a document number and entered into the DC database. Documents should follow the format set by the Laboratory's document templates. Authors can use the Ames Laboratory Document

Template or the Ames Laboratory Forms and Handouts Template (both can be found on the Document Control web page) to begin new documents. Each document or form must be accompanied by a Document Submission Form, and submitted electronically to doccontrol@ameslab.gov.

All documents, with the exception of forms, guides and handouts, shall begin with an approval record, followed by revision/review information. Some documents related to vital records, or containing information that must be preserved or tracked as part of the Records Management Program, will include a bar code on the bottom right hand corner of the first page. Authors should contact Document Control staff to determine whether a form needs a bar code, and to obtain a bar code. Authors must determine whether a document should be posted online, and instruct the DC Office as such.

Internal documents from Laboratory offices or groups that are tracked through the Document Control Program shall adhere to the policies and procedures described above.

6.1.2. Document Review and Revision

All documents must be assigned a review period, as determined by the document type (see Section 3.1.2, Definitions). The review date must be included in the header for all documents (with the exception of forms and handouts). When a revision is necessary, either as a scheduled review or as the result of a regulatory or other change, the document author must:

- Create a new, or add to an existing revision description (forms and handouts do not require revision descriptions).
- Change the version number of the document.
    - For substantial revisions that require approval, and for all scheduled reviews regardless of the scope of changes, the version number should be changed in whole numbers (e.g., version 3 to version 4) and the effective date and next scheduled review date should be updated to reflect the review period.
    - For minor revisions that do not require approval, the version number should be changed in decimal increments (e.g., version 3 to version 3.1) along with the effective date, but the next scheduled review date *should not be changed.*
- To allow time for routing and approval, post-date the document's effective date two weeks, and set the effective date at the first or the fifteenth of the month.
- Send the revised document, along with the submission form, to doccontrol@ameslab.gov. Archive the old version of the document.

Once all materials are gathered and the document has been approved, Document Control staff will update the database, file the approval paperwork, and post the new version of the document online (if applicable). The document author will be notified once this process is complete.

6.1.3. Document Approval

All documents with Laboratory-wide impact must have approval from the appropriate line management as follows:

- Policies, charters and plans must be approved by the supervisor or program manager and all members of Executive Council.
- Manuals and procedures must be approved by the program director/department manager and by the member of Executive Council who has oversight of the originating office.
- Forms, guides and handouts must be reviewed by the supervisor or program manager.

For minor revisions of policies, plans, manuals, procedures, and handbooks, the document must be reviewed by the supervisor or program manager. In addition, if a document lists reviewers on the approval record, the author is responsible for ensuring that all reviewers have an opportunity to review the document before it is submitted to Document Control.

The Laboratory's email and shared file systems will be utilized to route and approve documents.

6.1.4. Document Availability

All policies, plans, manuals, guidelines, handouts, procedures, charters and forms that are available online must have a document number, and should follow as closely as is practical the appropriate document format. The file format in which documents are made available should be determined by the document author and Document Control staff, but a PDF is the preferred option.

7.0 Post Performance Activity

This program will be assessed every three years at a minimum to ensure the plan is effective, and that Laboratory employees are aware of, and adhering to the requirements.

8.0 References

Document Control Submission Form (Form 48202.002)

Ames Laboratory Document Template (Form 48202.004)

Ames Laboratory Forms and Handouts Template (Form 48202.003)

Ames Laboratory Document Section or Chapter Template (Form 48202.005)

Guidelines for Lab-wide Document Creation and Revisions (Handout 48202.001)